

MET 206 US (10304514)

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Dated: 8/11/04

Signature:

Fani Malikouzakis
(Fani Malikouzakis)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Sebastian JANSSEN

Confirmation No: 8735

Application No.: 10/825,991

Group Art Unit: Unknown

Filed: April 16, 2004

Examiner: Not Yet Assigned

For: ASYMMETRICAL ACCOUNTING FOR A
STABLE VALUE INVESTMENT PRODUCT
AND METHOD

PETITION TO GRANT FILING DATE

Box: Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Applicants hereby petition to have the filing date granted in the above referenced application, in accordance with 37 C.F.R. § 1.53(e). The fee required by this petition, as called for by 37 C.F.R. § 1.17(h), i.e., \$130.00, accompanies this petition. Please make appropriate adjustment by way of Deposit Account No. 500624, if necessary.

Applicants are petitioning the Notice of Incomplete Nonprovisional Application dated July 19, 2004. The application was filed on April 16, 2004 with 2 sheets of figures. Attached is a copy of the returned stamped postcard indicating the receipt of the 18 pages of specification and 2 sheets of drawings. Attached is also a copy of the Utility Patent Application Transmittal Sheet indicating the application was filed with two sheets of drawings.

08/16/2004 MAHMED1 00000062 10825991

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130.00 OP

For your convenience, we enclose a copy of two sheets of drawings for your files that were originally filed on April 16, 2004.

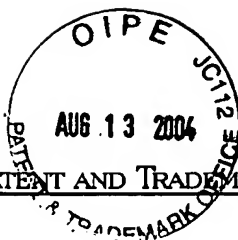
The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith to Deposit Account No. 50-0624, under Order No. MET 206 US (10304514). Also, if the petition is granted, the Commissioner is hereby authorized to credit any referenced petition fee to Deposit Account No. 50-0624, under Order No. MET 206 (10304514).

Respectfully submitted,

Fulbright & Jaworski L.L.P.
666 Fifth Avenue
New York, New York 10103
(212) 318-3000
(212) 318-3400 (Fax)

By 
C. Andrew Im
Registration No. 40,657
Attorneys for Applicant

IFW#



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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/825,991	04/16/2004	Sebastian Janssen	NY-MET 206-US

CONFIRMATION NO. 8735

024972
 FULBRIGHT & JAWORSKI, LLP
 666 FIFTH AVE
 NEW YORK, NY 10103-3198

FORMALITIES LETTER



OC000000013272365

Date Mailed: 07/19/2004

NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below and a newly executed oath or declaration covering the items must be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)). Replies should be mailed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(h)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition. Petitions should be mailed to: Mail Stop Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

- The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented." *Applicant should reconsider whether the drawings are necessary under 35 U.S.C. 113 (first sentence).*

Replies should be mailed to: Mail Stop Missing Parts
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Void/date: 08/16/2004 MAHMEDI 10825991
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 01 FC:1051 130.00 DP

*A copy of this notice **MUST** be returned with the reply.*

Y.G.
 Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



CASE # MET 206 US - CAI

Serial No. To Be Assigned

MAILED: April 16, 2004

Due: April 18, 2004 (Sunday)

The stamp of the Patent Office hereon may be taken as acknowledgment of receipt, on the date stamped, of the following:

NEW US APPLICATION claiming priority from US Provisional Appl. No. 60/463,785 filed 4/18/03, entitled, "Asymmetrical Accounting for a Stable Investment Product", Inventor(s): Sebastian JANSSEN

1. Utility Patent Appl. Transmittal
2. Fee Transmittal
3. Specification (18 Pages); Figures (2 Sheets)
4. Executed Declaration/Power of Attorney Form
5. Executed Assignment and Assignment Recordation Sheet
6. Check No. 49873 for \$932.00 (Filing Fee; Assignment Recordation fee)

22387 U.S. PTO
10/825991



EXPRESS MAIL NO. EV 331559929 US

FULBRIGHT & JAWORSKI, LLP
NEW YORK DOCKETING

Docketed ☐ Not Required ☐
Previously ☐ Updated ☐

Docket No: NY-MET 206-US CAI

Action: Foreign Filing Deadline

Reminder: 3/16/05

Date: Due/Done 4/16/05

Initials: (18)



UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	
Attorney Docket No.	NY-MET 206-US
First Inventor	Sebastian Janssen
Title	ASYMMETRICAL ACCOUNTING FOR A STABLE INVESTMENT PRODUCT
Express Mail Label No.	EV 331559929 US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>	ADDRESS TO: MS Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450
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<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small></p> <p>2. <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small></p> <p>3. <input checked="" type="checkbox"/> Specification <small>(Total Pages 18)</small> <small>(preferred arrangement set forth below)</small><ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fee sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>(Total Sheets 2)</small></p> <p>5. Oath or Declaration <small>(Total Sheets 2)</small><ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small><ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small><ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Form (CRF)b. Specification Sequence Listing on:<ul style="list-style-type: none">i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); orii. <input type="checkbox"/> Paperc. <input type="checkbox"/> Statements verifying identity of above copies</p>
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ACCOMPANYING APPLICATION PARTS	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)).	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small>	
11. <input type="checkbox"/> English Translation Document <small>(if applicable)</small>	
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>	
16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). <small>Applicant must attach form PTO/SB/35 or its equivalent.</small>	
17. <input type="checkbox"/> Other:	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 60/463,785 FILED 4/18/03

Prior application information: Examiner Not Yet Assigned Art Unit: N/A

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS				
<input checked="" type="checkbox"/> Customer Number: 024972		OR <input type="checkbox"/> Correspondence address below		
Name				
Address				
City	State	Zip Code		
Country	Telephone	Fax		

Name (Print/Type)	C. Andrew Im	Registration No. (Attorney/Agent)	40,657
Signature		Date	4/16/04

Utility Patent Application Transmittal	
I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express-Mail, Airbill No. EV 331559929 US, in an envelope addressed to: MS Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.	
Dated: <u>4/16/04</u>	Signature: <u>Fani Malikouzakis</u> (Fani Malikouzakis)



Fig. 1

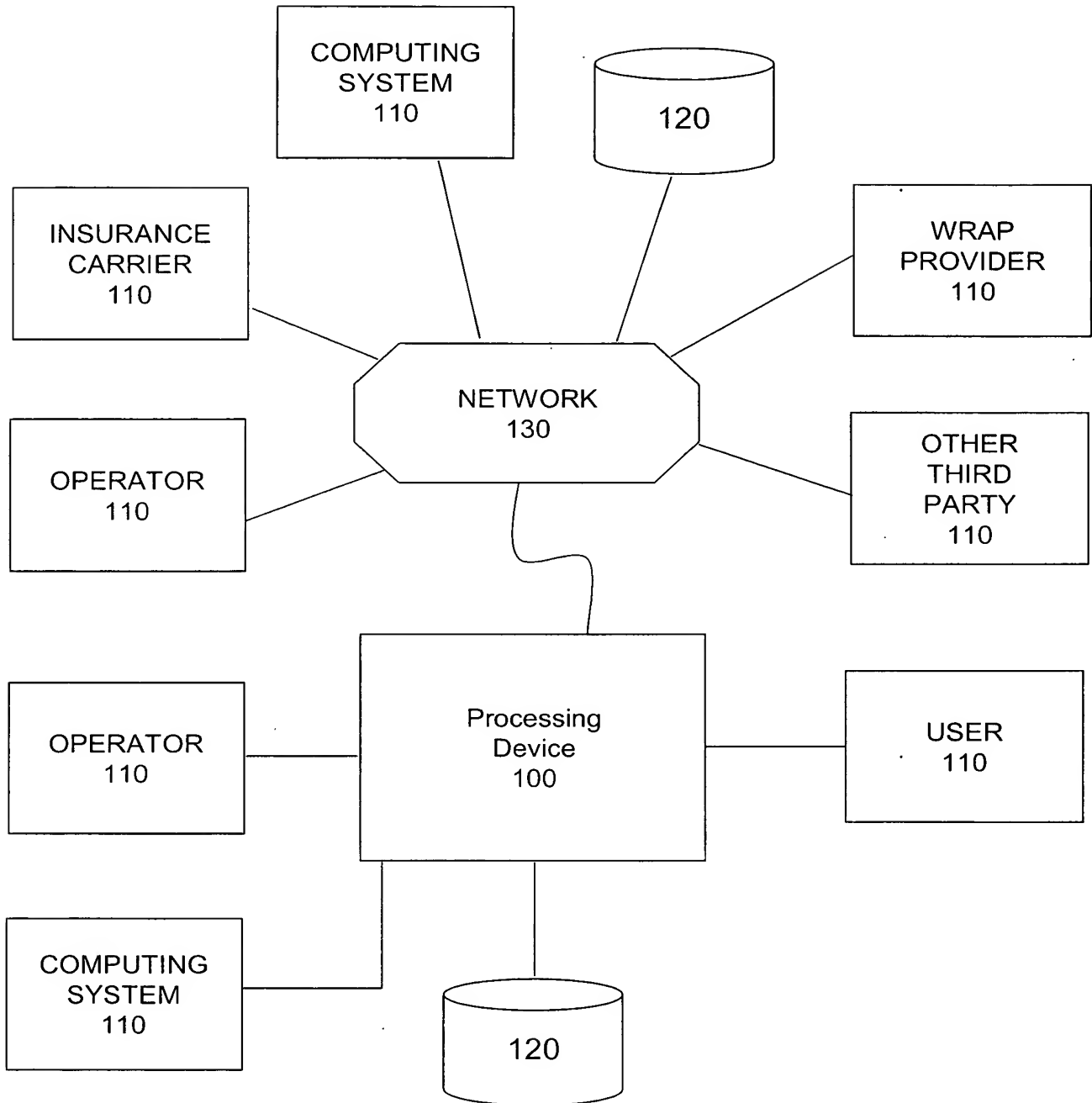


Fig 2

